



PATENT

#6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : GÖKE et al.  
SERIAL NO : 09/719,410  
FILED : December 12, 2000  
TITLE : GLUCAGON-LIKE PEPTIDE-1 IMPROVES THE ABILITY OF THE  
β-CELL TO SENSE AND RESPOND TO GLUCOSE IN SUBJECTS  
WITH IMPAIRED GLUCOSE TOLERANCE

Grp./A.U. :  
Examiner : Barbara A. Campbell  
Conf. No. :  
Docket No. : B639-71

**RESPONSE TO NOTIFICATION OF A DEFECTIVE  
RESPONSE DATED MARCH 27, 2001**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

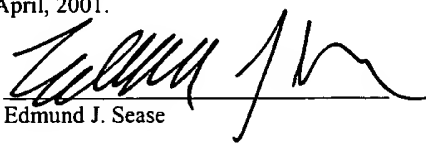
Applicant received Form PCT/DO/EO/916 indicating that the application was not in compliance because it identified inventors not listed on the International Application (see attached notice).

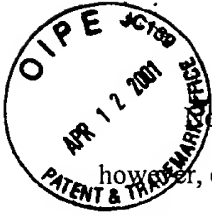
We enclose herewith a response earlier filed in the PCT case which has taken care of the issue in question.

If anything further is needed to complete a timely response, it is requested that the undersigned be contacted.

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**CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))**

I hereby certify that this document and the documents referred to as enclosed therein are being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 9th day of April, 2001.

  
Edmund J. Sease



to fees or extensions of time are believed to be due in connection with this paper; however, consider this a request for any extension inadvertently omitted, and charge any additional fees to Deposit Account No. 26-0084.

Reconsideration and allowance is respectfully requested.

Respectfully submitted,

Edmund J. Sease, Reg. No. 24,741  
ZARLEY, McKEE, THOMTE, VOORHEES  
& SEASE

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Attorneys of Record

- rl -



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: ASSISTANT COMMISSIONER FOR PATENTS  
Box PCT  
Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/719410	GOKE	B P03986US2
INTERNATIONAL APPLICATION NO.		
PCT/US99/10040		
LA. FILING DATE	PRIORITY DATE	
07 MAY 99	12 JUN 98	
DATE MAILED: 27 MAR 2001		

EDMUND J SEASE  
ZARLEY MCKEE THOMTE VOORHEES & SEASE  
801 GRAND AVENUE SUITE 3200  
DES MOINES, IA 50309 2721

NOTIFICATION OF A DEFECTIVE RESPONSE

- 1 ☐ The request for an extension of time (37 CFR 1.136(a)) filed \_\_\_\_\_ is defective because the required fee is missing/insufficient. Extension of time fees are listed at 37 CFR 1.17(a)(1)-(a)(5).
- 2 ☐ Applicant's response filed \_\_\_\_\_ was received in the Office on \_\_\_\_\_, which is after the expiration of the period for response set in the last Office notification mailed \_\_\_\_\_. This application will become abandoned unless applicant obtains an extension of time to reply to the last Office notification under 37 CFR 1.136(a).
- 3 ☒ Applicant's response filed 03/02/01 included the following items, the receipt of which is hereby acknowledged:
- ☒ Copy of the international application in:
    - ☐ a non-English language.
    - ☒ English.
  - ☐ Translation of the international application into English ☐ which is defective for the reasons indicated on the attached Notice of Defective Translation.
  - ☐ Processing fee (37 CFR 1.492(f)) ☐ which is insufficient.
  - ☒ Oath or Declaration of inventors(s).
    - ☐ in compliance with 37 CFR 1.497(a) and (b).
    - ☒ not in compliance with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
  - ☒ Surcharge (37 CFR 1.492(e)) ☐ which is insufficient.
  - ☐ Copy of Article 19 amendments.
  - ☐ Translation of Article 19 amendments into English.
  - ☒ The International Preliminary Examination Report in English and its Annexes, if any.
  - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
  - ☐ Preliminary amendment(s).
  - ☐ Information Disclosure Statement(s).
  - ☐ Assignment document.
  - ☒ Power of Attorney and/or Change of Address.
  - ☐ Substitute specification.
  - ☒ Verified Statement Claiming Small Entity Status.
  - ☐ Priority Document.
  - ☐ Other.

- 4 ☒ All of the requirements set forth in the notification of MISSING REQUIREMENTS (Form PCT/DO/EO/905 mailed 02/08/01) have not been completed.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements (Form DO/EO/905), whichever is the longer. No extension of this time limit may be granted under 37 C.F.R. § 1.136, but the period for response set in the Notification of Missing Requirements may be extended up to a maximum of five months.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

Enclosed: ☒ PCT/DO/EO/917 ☐ Notice of Defective Translation

Barbara A. Campbell

Telephone: 703-305-3631



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/719410	GOKE	B
EDMUND J SEASE ZARLEY MCKEE THOMTE VOORHEES & SEASE 801 GRAND AVENUE SUITE 3200 DES MOINES, IA 50309 2721		P03986US2
INTERNATIONAL APPLICATION NO.		
PCT/US99/10040		
I.A. FILING DATE		PRIORITY DATE
07 MAY 99		12 JUN 98
DATE MAILED: 27 MAR 2001		

#### NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION

This application fails to contain an oath or declaration acceptable under 35 U.S.C. 371 (c)(4) for entry into the national stage in the United States of America. The period within which to correct these requirements and avoid abandonment is set in the accompanying Office action.

A new oath or declaration, identifying this application by the international application number and international filing date is required. The oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

1. ☐ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
2. ☐ does not identify the specification to which it is directed.
3. ☒ identifies inventor not listed on International Application and Rule 92 bis not furnished (see attached)
4. ☐ does not identify the citizenship of each inventor.
5. ☐ does not state the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b) WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

1. ☐ does not identify the city and state or city and foreign country of residence or each inventor.
2. ☐ does not state that the person making the oath or declaration:
  - a. ☐ has reviewed and understands the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
  - b. ☐ acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
3. ☐ does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, month, and year of its filing.
4. ☐ does not state that the person making the oath or declaration acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and filing date of the continuation in part application which discloses and claims subject matter in addition to that disclosed in the prior application (37 CFR 1.63(d)).

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